



THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent of

U.S. Patent No. : 7,011,868 B2  
Issued : March 14, 2006  
Title : **FLUORINE-FREE PLASMA CURING PROCESS FOR POROUS  
LOW-K MATERIALS**  
Docket No. : AXD 0001 I3/31126.3

**MAIL STOP PETITIONS**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on June 22, 2006.

*Patricia L. Prior*  
Patricia L. Prior Reg. No. 33,758

Sir:

REQUEST UNDER 37 C.F.R. 3.81(b)

Applicants hereby request that the Assignees' name and address (assignment data) printed on the above-identified issued patent be corrected as follows:

(73) Assignee: "Axcelis Technologies, Inc., Beverly, MA (US)"  
should read --Axcelis Technologies, Inc., Beverly, MA (US) and  
JSR Corporation, Tokyo, Japan--.

At the time the issue fee was paid a secretarial error occurred in typing the information on the appropriate space for identifying the assignment data, i.e, item 3 of the Fee(s) Transmittal Form PTOL-85B.

Applicants state that the assignment was submitted for recordation as set forth in 37 CFR 3.11 before issuance of the patent. A copy of the Notices of Recordation of Assignment Documents are enclosed (dated February 20, 2004, Reel/Frame 014992/0338, Assignee Axcelis Technologies, Inc. and dated August 18, 2003, Reel/Frame 014391/0159, Assignee JSR Corporation).

Enclosed is a copy of the Request for Certificate of Correction under 37 CFR 1.323 along with the fee set forth in 37 CFR 1.20(a) submitted May 16, 2006.

Patent No. 7,011,868 B2  
Docket AXD 0001 I3/31126.3

Also enclosed is the processing fee set forth in 37 CFR 1.17(i) in the amount of \$130.00 which represents the payment for the above subject matter.

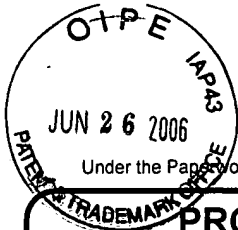
Applicant's request that a Certificate of Correction accurately indicating the Assignees' names and addresses (assignment data) as shown on the attached PTO/SB/44 be issued and mailed to the undersigned attorney.

Respectfully submitted,  
DINSMORE & SHOHL LLP

By Patricia L. Prior  
Patricia L. Prior  
Registration No. 33,758

One Dayton Centre  
One South Main St., Suite 1300  
Dayton, Ohio 45402-2023  
Telephone: (937) 449-6400  
Facsimile: (937) 449-6405

PLP/AMM  
Encls.

**PROCESSING FEE  
Under 37 CFR 1.17(i)  
TRANSMITTAL**

(Fees are subject to annual revision)

Send completed form to: Commissioner for Patents  
P.O. Box 1450, Alexandria, VA 22313-1450

Application Number	10/627,894/7,011,868 B2
Filing Date	July 24, 2003/March 14, 2006
First Named Inventor	Carlo Waldfried
Art Unit	1762
Examiner Name	Marianne L. Padgett
Attorney Docket Number	AXD 0001 I3 (01-SM5-218-CIP2)

**Enclosed is a paper filed under 37 CFR 3.81(b) that requires a processing fee (37 CFR 1.17(i)).  
Payment of \$ 130.00 is enclosed.**

This form should be included with the above-mentioned paper and faxed or mailed to the Office using the appropriate Mail Stop, if applicable. For transmittal of petition fees under 37 CFR 1.17(f), (g) or (h), see form PTO/SB/17p.

**Payment of Fees** (small entity amounts are NOT available for the processing fees)☐ The Commissioner is hereby authorized to charge the following fees to Deposit Account No. \_\_\_\_\_:  
☐ processing fee under 37 CFR 1.17(i) ☐ any deficiency of fees and credit of any overpayments

Enclose a duplicative copy of this form for fee processing.

☒ Check in the amount of \$ 130.00 is enclosed.☐ Payment by credit card (Form PTO-2038 or equivalent enclosed). Do not provide credit card information on this form.**Processing Fees under 37 CFR 1.17(i): Fee \$130 Fee Code 1808 for all,  
Except for § 1.221 papers (Fee Code 1803)**

For papers filed under:

§ 1.28(c)(3) - for processing a non-itemized fee deficiency based on an error in small entity status.

§ 1.41 - for supplying the name or names of the inventor or inventors after the filing date without an oath or declaration as prescribed by § 1.63, except in provisional applications.

§ 1.48 - for correcting inventorship, except in provisional applications.

§ 1.52(d) - for processing a nonprovisional application filed with a specification in a language other than English.

§ 1.53(b)(3) - to convert a provisional application filed under § 1.53(c) into a nonprovisional application under § 1.53(b).

§ 1.55 - for entry of late priority papers.

§ 1.71(g)(2) - to enter an amendment to the specification for purposes of 35 U.S.C. 103(c)(2) if not filed within the cited time periods

§ 1.99(e) - for processing a belated submission under § 1.99.

§ 1.103(b) - for requesting limited suspension of action, continued prosecution application (§ 1.53(d)).

§ 1.103(c) - for requesting limited suspension of action, request for continued examination (§ 1.114).

§ 1.103(d) - for requesting deferred examination of an application.

§ 1.217 - for processing a redacted copy of a paper submitted in the file of an application in which a redacted copy was submitted for the patent application publication.

§ 1.221 - for requesting voluntary publication or republication of an application. **Fee Code 1803**

§ 1.291(c)(5) - for processing a second or subsequent protest by the same real party in interest.

§ 1.497(d) - for filing an oath or declaration pursuant to 35 U.S.C. 371(c)(4) naming an inventive entity different from the inventive entity set forth in the international stage.

§ 3.81 - for a patent to issue to assignee, assignment submitted after payment of the issue fee.

Signature

Patricia L. Prior

Typed or printed name

06/22/2006

Date

33,758

Registration No., if applicable

This collection of information is required by 37 CFR 1.17. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 5 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*

## UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

Page 1 of 1

PATENT NO. : 7,011,868 B2

APPLICATION NO.: 10/627,894

ISSUE DATE : March 14, 2006

INVENTOR(S) : Waldfried et al

It is certified that an error appears or errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

(73) Assignee: "Axcelis Technologies, Inc., Beverly, MA (US)" should read --Axcelis Technologies, Inc., Beverly, MA (US) and JSR Corporation, Tokyo, Japan--.

### MAILING ADDRESS OF SENDER (Please do not use customer number below):

Dinsmore & Shohl, LLP  
One Dayton Centre  
One South Main Street, Suite 1300  
Dayton, Ohio 45402

This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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**UNITED STATES PATENT AND TRADEMARK OFFICE  
CERTIFICATE OF CORRECTION**Page 1 of 1

PATENT NO. : 7,011,868 B2  
APPLICATION NO.: 10/627,894  
ISSUE DATE : March 14, 2006  
INVENTOR(S) : Waldfried et al

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One Dayton Centre  
One South Main Street, Suite 1300  
Dayton, Ohio 45402

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**UNITED STATES PATENT AND TRADEMARK OFFICE**

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

AUGUST 16, 2004

PTAS



\*102676351A\*

DINSMORE & SHOHL, LLP  
ONE DAYTON CENTRE  
ONE SOUTH MAIN STREET, SUITE 500  
DAYTON, OH 45402

*AND 0001 I3*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 02/20/2004

REEL/FRAME: 014992/0338

NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

WALDFRIED, CARLO

DOC DATE: 07/21/2003

ASSIGNOR:

HAN, QINGYUAN

DOC DATE: 07/21/2003

ASSIGNOR:

ESCORCIA, ORLANDO

DOC DATE: 07/18/2003

ASSIGNOR:

BERRY, IVAN L., III

DOC DATE: 07/21/2003

ASSIGNOR:

ALBANO, RALPH

DOC DATE: 07/18/2003

014992/0338 PAGE 2

ASSIGNEE:

AXCELIS TECHNOLOGIES, INC.  
55 CHERRY HILL DRIVE  
BEVERLY, MASSACHUSETTS 01915

SERIAL NUMBER: 10627894

FILING DATE: 07/24/2003

PATENT NUMBER:

ISSUE DATE:

TITLE: FLUORINE-FREE PLASMA CURING PROCESS FOR POROUS LOW-K MATERIALS

DOROTHY RILEY, PARALEGAL  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

02-24-2004

102676351

Form PTO-1592 (Rev. 10/02)  
 OMB No. 0651-0027 (exp. 6/30/2005)  
 Tab settings

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please receive the enclosed original documents or copy thereof.

1. Name of conveying party(ies):

Carlo Waldfried, Qingyuan Han, Orlando Escorcía,  
Ivan L. Berry, III; Ralph Albano

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

### 3. Nature of conveyance:

☒ Assignment
 ☐ Merger  
☐ Security Agreement
 ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: July 21, 2003; July 18, 2003

2. Name and address of receiving party(ies)

Name: Axcelis Technologies, Inc.

Internal Address: \_\_\_\_\_

Street Address: 55 Cherry Hill Drive

City: Beverly State: MA Zip: 01915

Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

10/627,894

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Dinsmore & Shohl, L.L.P.

Internal Address: \_\_\_\_\_

Street Address: One Dayton Centre

One South Main Street, Suite 500

City: Dayton State: OH Zip: 45402

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$ 40.00

 Enclosed

☐ Authorized to be charged to deposit account

8. Deposit account number:

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Brian L. Smiler

Name of Person Signing

Signature

February 17, 2004

Date \_\_\_\_\_

Total number of pages including cover sheet, attachments, and documents: 8

**Mail documents to be recorded with required cover sheet information to:**  
Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231

02/23/2004 HGETACHE 00000042 10627894

01 FC:8021

40.00 OP



ASSIGNMENT

WHEREAS we, **Carlo Waldfried**, of Falls Church, VA; **Qingyuan Han**, of Columbia, MD; **Orlando Escorcía**, of Falls Church, VA; and **Ivan L. Berry, III**, of Ellicott City, MD have invented certain new and useful **FLUORINE-FREE PLASMA CURING PROCESS FOR POROUS LOW-K MATERIALS** ~~**PLASMA ASHING APPARATUS AND ENDPOINT DETECTION PROCESS**~~ for which we executed an application for a United States Patent and for which said application for United States Patent was filed on July 24, 2003, under

☒ Patent Application Serial No. 10/627,894

☒ Attorney Docket No. AXC 0001 I3 (01-SM5-218 CIP2);

WHEREAS, we hereby authorize and request the attorney(s) and/or agent(s) empowered to act on our behalf in the aforementioned application, to insert above the filing date and application number of said application, when known;

WHEREAS, Axcelis Technologies, Inc., a corporation of the State of Delaware, with a place of business at 55 Cherry Hill Drive, Beverly, Massachusetts, 01915, hereinafter called the Assignee, is desirous of acquiring the entire right, title and interest in and to said application and the inventions therein disclosed and any letters patent that may issue thereon;

NOW THEREFORE, for good and valuable consideration, receipt whereof is hereby acknowledged, we hereby sell, assign and transfer unto said Assignee, its successors and assigns, the entire right, title and interest in and to said application and any divisions or continuations thereof, and the inventions therein disclosed, and any improvements thereon, and any patent or patents that may be issued or reissued thereon, and we hereby authorize and request the Commissioner of Patents and Trademarks to issue any letters patent thereon, and reissues thereof, to said Assignee, its successors and assigns; and we hereby authorize said Assignee, its successors and assigns, to file in its own name applications for patent in foreign countries in connection with the inventions hereby transferred, under the International Convention claiming the priority of said United States application or otherwise, and to secure in its own name the patent or patents issued thereon; and we hereby agree that, upon request, we will sign all papers, and make all rightful oaths, and do all acts which said Assignee, its successors or assigns, may consider necessary in connection with said United States application, and in connection with any other United States or foreign applications that may be filed in connection with said inventions, and with any improvements thereon, and in connection with any patents issued or reissued thereon.

By: CG  
Carlo Waldfried

Dated: July 21 2003

Witnessed by: PL BT 7/21/03  
Signature and Date

Paula Barton  
Printed Name of Witness

By: Qingyuan Han  
Qingyuan Han

Dated: July 21 2003

Witnessed by: PL BT 7/21/03  
Signature and Date

Paula Barton  
Printed Name of Witness

By: Orlando Escorcia  
Orlando Escorcia

Dated: July 18, 2003

Witnessed by: PL BT 7/18/03  
Signature and Date

Paula Barton  
Printed Name of Witness

By: Ivan L. Berry, III  
Ivan L. Berry, III

Dated: July 21 2003

Witnessed by: PL BT 7/21/03  
Signature and Date

Paula Barton  
Printed Name of Witness

ASSIGNMENT

WHEREAS I, **Ralph Albano**, of Columbia, MD, <sup>PA</sup> have invented certain new and useful **FLUORINE-FREE PLASMA CURING PROCESS FOR POROUS LOW-K MATERIALS** ~~PLASMA ASHING APPARATUS AND ENDPOINT DETECTION PROCESS~~ for which I executed an application for a United States Patent and for which said application for United States Patent was filed on July 24, 2003, under

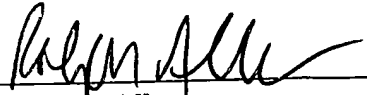
☒ Patent Application Serial No. 10/627,894

☒ Attorney Docket No. AXC 0001 I3 (01-SM5-218 CIP2);

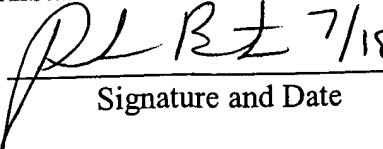
WHEREAS, I hereby authorize and request the attorney(s) and/or agent(s) empowered to act on my behalf in the aforementioned application, to insert above the filing date and application number of said application, when known;

WHEREAS, Axcelis Technologies, Inc., a corporation of the State of Delaware, with a place of business at 55 Cherry Hill Drive, Beverly, Massachusetts, 01915, hereinafter called the Assignee, is desirous of acquiring the entire right, title and interest in and to said application and the inventions therein disclosed and any letters patent that may issue thereon;

NOW THEREFORE, for good and valuable consideration, receipt whereof is hereby acknowledged, I hereby sell, assign and transfer unto said Assignee, its successors and assigns, the entire right, title and interest in and to said application and any divisions or continuations thereof, and the inventions therein disclosed, and any improvements thereon, and any patent or patents that may be issued or reissued thereon, and I hereby authorize and request the Commissioner of Patents and Trademarks to issue any letters patent thereon, and reissues thereof, to said Assignee, its successors and assigns; and we hereby authorize said Assignee, its successors and assigns, to file in its own name applications for patent in foreign countries in connection with the inventions hereby transferred, under the International Convention claiming the priority of said United States application or otherwise, and to secure in its own name the patent or patents issued thereon; and I hereby agree that, upon request, I will sign all papers, and make all rightful oaths, and do all acts which said Assignee, its successors or assigns, may consider necessary in connection with said United States application, and in connection with any other United States or foreign applications that may be filed in connection with said inventions, and with any improvements thereon, and in connection with any patents issued or reissued thereon.

By:   
Ralph Albano

Dated: 7/18/03

Witnessed by:  7/18/03  
Signature and Date

Paula Barton  
Printed Name of Witness



PTO/SB/17 (10-03)  
Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 40.00

## Complete if Known

Application Number	10/627,894
Filing Date	July 24, 2003
First Named Inventor	Carlo Waldfried
Examiner Name	
Art Unit	1762
Attorney Docket No.	AXD 0001 I3/31126.3

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit  
Account  
Number  
Deposit  
Account  
Name


The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments

☐ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$ ) -0-

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims		-20** =		X		=	
Independent Claims		-3** =		X		=	
Multiple Dependent						=	

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple dependent claim, if not paid	
1204	86	2204	43	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$ ) -0-

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 40.00

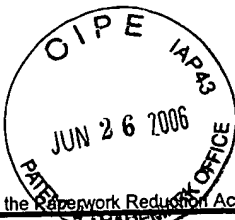
## SUBMITTED BY

Name (Print/Type)	Brian L. Smiler	Registration No. (Attorney/Agent)	46,458	Telephone	(937) 223-2050
Signature		Date	February 17, 2004		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/17 (10-03)

Approved for use through 07/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$)

40.00

### Complete if Known

Application Number	10/627,894
Filing Date	July 24, 2003
First Named Inventor	Carlo Waldfried
Examiner Name	
Art Unit	1762
Attorney Docket No.	AXD 0001 I3/31126.3

### METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☐ Deposit Account:Deposit  
Account  
Number  
Deposit  
Account  
Name


The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments☐ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$)

-0-

#### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

		Extra Claims		Fee from below		Fee Paid
Total Claims	<input type="text"/>	-20** =	<input type="text"/>	X	<input type="text"/>	<input type="text"/>
Independent Claims	<input type="text"/>	-3** =	<input type="text"/>	X	<input type="text"/>	<input type="text"/>
Multiple Dependent	<input type="text"/>				<input type="text"/>	<input type="text"/>

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

-0-

\*\*or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
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1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
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1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
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1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

40.00

### SUBMITTED BY

Name (Print/Type)	Brian L. Smiler	Registration No. (Attorney/Agent)	46,458	Telephone	(937) 223-2050
Signature		Date	February 17, 2004		

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.

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UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
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MARCH 05, 2004

PTAS

KILLWORTH, GOTTMAN, HAGAN & SCHAEFF, LLP  
BRIAN L. SMILER  
ONE SOUTH MAIN STREET, SUITE 500  
ONE DAYTON CENTRE  
DAYTON, OH 45402



\*102529467A\*

AXD0001I3

MAR 11 2004

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 08/18/2003

REEL/FRAME: 014391/0159  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

SHIOTA, ATSUSHI

DOC DATE: 07/01/2003

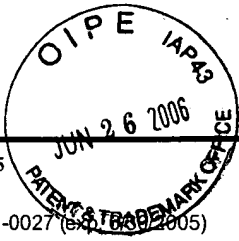
ASSIGNEE:

JSR CORPORATION  
2-11-24, TSUKIJI, CHUO-KU  
TOKYO, JAPAN

SERIAL NUMBER: 10627894  
PATENT NUMBER:

FILING DATE: 07/24/2003  
ISSUE DATE:

SHAREILL COLES, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



08-20-2003



102529467

Form PTO-1595  
(Rev. 10/02)

OMB No. 0651-0027 (Rev. 10/05)

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

Tab settings ⇌ ⇌ ⇌

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Atsushi Shiota

8-18-03

## 2. Name and address of receiving party(ies)

Name: JSR Corporation

Internal Address: \_\_\_\_\_

Street Address: 2-11-24, Tsukiji

Chuo-ku

City: Tokyo State: Japan Zip: \_\_\_\_\_

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: 7/1/03

Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

10/627,894

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Killworth, Gottman, Hagan &amp; Schaeff, L.L.P.

Internal Address: \_\_\_\_\_

Street Address: One Dayton Centre

One South Main Street, Suite 500

City: Dayton State: OH Zip: 45402

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$ 40.00

- ☒ Enclosed  
☐ Authorized to be charged to deposit account

## 8. Deposit account number:

(Attach duplicate copy of this page if paying by deposit account)

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## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Brian L. Smiler

Name of Person Signing

Signature

August 13, 2003

Date

Total number of pages including cover sheet, attachments, and documents: 7

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231

08/20/2003 LMUELLER 00000039 10627894

01 FC:8021

40.00 DP

## ASSIGNMENT

WHEREAS, I, **Atsushi Shiota**, of, Ibarkai, Japan, invented certain new and useful **FLUORINE-FREE PLASMA CURING PROCESS FOR POROUS LOW-K MATERIALS** for which I executed an application for a United States Patent and for which said application for United States Patent was filed on July 24, 2003, under

☒ Patent Application Serial No. 10/627,894

☒ Attorney Docket No. AXC 0001 I3 (01-SM5-218 CIP2)

WHEREAS, I hereby authorize and request the attorney(s) and/or agent(s) empowered to act on my behalf in the aforementioned application, to insert above the filing date and application number of said application, when known;

AND WHEREAS, JSR Corporation with a place of business at 2-11-24, Tsukiji, Chuo-ku, Tokyo, Japan, hereinafter called the Assignee, is desirous of acquiring the entire right, title and interest in and to said application and the inventions therein disclosed and any letters patent that may issue thereon;

NOW, THEREFORE, for good and valuable consideration, receipt whereof is hereby acknowledged, I hereby sell, assign and transfer unto said Assignee, its successors and assigns, the entire right, title and interest in and to said application and any divisions or continuations thereof, and the inventions therein disclosed, and any improvements thereon, and any patent or patents that may be issued or reissued thereon, and I hereby authorize and request the Commissioner of Patents and Trademarks to issue any letters patent thereon, and reissues thereof, to said Assignee, its successors and assigns; and I hereby authorize said Assignee, its successors and assigns, to file in its own name applications for patent in foreign countries in connection with the inventions hereby transferred, under the International Convention claiming the priority of said United States application or otherwise, and to secure in its own name the patent or patents issued thereon; and I hereby agree that, upon request, I will sign all papers, and make all rightful oaths, and do all acts which said Assignee, its successors or assigns, may consider necessary in connection with said United States application, and in connection with any other United States or foreign applications that may be filed in connection with said inventions, and with any improvements thereon, and in connection with any patents issued or reissued thereon.



IN TESTIMONY WHEREOF, I hereunto set my hand and seal this   /   day of  
July, 2003 .

Atsushi Shiota  
**Atsushi Shiota**

Mitsue Takayama  
Witness



PTO/SB/17 (05-03)

Approved for use through 04/30/2003. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 40.00

**Complete if Known**

Application Number	10/627,894
Filing Date	July 24, 2003
First Named Inventor	Carlo Waldfried
Examiner Name	
Art Unit	
Attorney Docket No.	AXC 0001 I3/01-SM5-218 CIP2

**METHOD OF PAYMENT** (check all that apply)☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☐ Deposit Account:Deposit  
Account  
Number  
  
Deposit  
Account  
Name


The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments☐ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	750	2001	375	Utility filing fee	
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$ ) -0-

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

	Extra Claims	Fee from below	Fee Paid
Total Claims	-20** =	X	
Independent Claims	-3** =	X	
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ ) -0-

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION** (continued)**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
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1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
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1452	110	2452	55	Petition to revive - unavoidable	
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8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40.00
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1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 40.00

**SUBMITTED BY**

Name (Print/Type)	Brian L. Smiler	Registration No.	46,458	Telephone	937-223-2050
Signature		(Attorney/Agent)		Date	August 13, 2003

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Filing Date	July 24, 2003
First Named Inventor	Carlo Waldfried
Examiner Name	
Art Unit	
Attorney Docket No.	AXC 0001 I3/01-SM5-218 CIP2

**METHOD OF PAYMENT** (check all that apply)☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☐ Deposit Account:Deposit Account Number  
Deposit Account Name

The Director is authorized to: (check all that apply)

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**FEE CALCULATION** (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

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Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 40.00

**SUBMITTED BY**

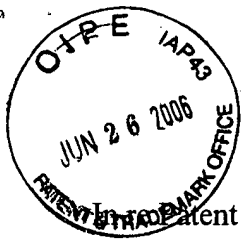
Name (Print/Type)	Brian L. Smiler	Registration No.	46,458	Telephone	937-223-2050
Signature		Attorney/Agent		Date	August 13, 2003

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SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

U.S. Patent No. : 7,011,868 B2  
Issued : March 14, 2006  
Title : **FLUORINE-FREE PLASMA CURING PROCESS FOR POROUS  
LOW-K MATERIALS**  
Docket No. : AXD 0001 I3/31126.3

**Certificate of Corrections Branch**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

CERTIFICATE OF MAILING  
I hereby certify that this correspondence is being deposited with the United States Postal  
Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box  
1450, Alexandria, VA 22313-1450, on May 16, 2006.

*Patricia L. Prior*  
Patricia L. Prior Reg. No. 33,758

Sir:

REQUEST FOR CERTIFICATE OF CORRECTION FOR PTO MISTAKE  
UNDER 35 U.S.C. 254 and 37 C.F.R. 1.322

In the matter of U.S. Patent No. 7,011,868 B2, it is respectfully requested that a  
Certificate of Correction be issued to cover the following errors which occurred in the printing of  
the patent.

Col. 6, line 1, "di-n-propyldi-tert-butoxysiane," should read --di-n-propyldi-tert-  
butoxysilane,--

Col. 13, line 33, "CH4:" should read --CH<sub>4</sub>--

Col. 13, line 43, "about 3. Gpa" should read --about 3 Gpa--

Col. 15, line 2, "material with" should read --material with the--

The following error in the patent, of which is the fault of the applicant, is of consequence  
and correction thereof is respectfully requested.

(73) Assignee: "Axcelis Technologies, Inc., Beverly, MA (US)" should read --Axcelis  
Technologies, Inc., Beverly, MA (US) and --JSR Corporation, Tokyo, Japan--

COPY

**REMARKS**

It is respectfully requested that a Certificate of Correction be issued for the above-identified patent. Enclosed is our check in the amount of \$100.00 which represents the payment for the above subject matter. Two (2) copies of the required Certificate of Correction Form PTO/SB/44 are enclosed.

Respectfully submitted,  
DINSMORE & SHOHL LLP

By Patricia L. Prior  
Patricia L. Prior  
Registration No. 33,758

One Dayton Centre  
One South Main St., Suite 1300  
Dayton, Ohio 45402-2023  
Telephone: (937) 449-6400  
Facsimile: (937) 449-6405

PLP/keo  
Encl.

## UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

Page 1 of 1

PATENT NO. : 7,011,868 B2

APPLICATION NO.: 10/627,894

ISSUE DATE : July 24, 2003

INVENTOR(S) : Waldfried, et al.

It is certified that an error appears or errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

(73) Assignee: "Axcelis Technologies, Inc., Beverly, MA (US)" should read --Axcelis Technologies, Inc., Beverly, MA (US) and --JSR Corporation, Tokyo, Japan--

Col. 6, line 1, "di-n-propyl-di-tert-butoxysilane," should read --di-n-propyl-di-tert-butoxysilane,--

Col. 13, line 33, "CH4:" should read --CH<sub>4</sub>--

Col. 13, line 43, "about 3. Gpa" should read --about 3 Gpa--

Col. 15, line 2, "material with" should read --material with the--

### MAILING ADDRESS OF SENDER (Please do not use customer number below):

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Stacy Powell, Sr.  
For Cecelia B. Newman, Supervisor  
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